

**Provided to all FCOI investigators at the time of proposal**

### **SBIR/STTR Projects at UCF**

Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) are government programs that provide grants to small business entities (SBEs) to develop research and technology. The goal of these programs is to accelerate the transfer of scientific discovery and innovation to the marketplace. Universities participate in SBIR and STTR programs by acting as research partners to small businesses, typically through subcontracts. The SBE applies for the funding and then subcontracts with the university to perform a portion of the research and development work required for the project. **Important note:** The SBE is always the applicant and prime awardee.



The University of Central Florida supports faculty participation in SBIR/STTR programs through a subcontract with an SBE. However, there are potential conflicts of interest that must be managed when a **UCF researcher has a financial interest in or outside employment with the SBE.**

### **General Guidelines**

1. UCF researchers that have a financial interest in or outside employment with the SBE **MUST** disclose the financial interest or outside employment on their AA-21 form in Huron COI. If you need assistance with this step, please contact [coi@ucf.edu](mailto:coi@ucf.edu).
2. UCF researchers who have a financial interest in or outside employment with the SBE **MUST** have an approved Exemption & Monitoring Plan on file. If you do not already have an Exemption & Monitoring Plan in place, please reach out to [coi@ucf.edu](mailto:coi@ucf.edu) to begin the process.
3. University personnel compensated under an SBIR/STTR subcontract cannot receive compensation for the same SBIR/STTR-funded research from the SBE.
4. The SBE portion of the research cannot be conducted on University-owned property unless an approved facility use agreement or services agreement is executed between the University and the SBE.
5. The SBE's proposal to the sponsor must clearly describe any relationships between UCF personnel and the SBE, so that the sponsor can make the funding decision with full knowledge of the potential conflict.
6. When submitting a proposal to the SBE for a sub-award to UCF, the UCF PI must provide the following items in their proposal packet:
  - a. A copy of the solicitation and the complete proposal and budget for the UCF sub-contract;
  - b. When the UCF researcher has a financial interest in or employment with the SBE: The complete proposal submitted by the SBE to the prime sponsor (if not available at the time of submission, the documents should be provided immediately post-submission).

Contact [coi@ucf.edu](mailto:coi@ucf.edu) with any questions regarding potential conflicts of interest related to SBIR/STTR projects